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UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	10209-011	Total Pages	82
	First Named Inventor or Application Identifier			
	Waelbroeck et al.			
	Express Mail Label No.	EV335855706US		

APPLICATION ELEMENTS <i>See MPEP chapters 600 concerning utility patent application contents.</i>	Address to: Commissioner for Patents P.O. Box 1450 Mail Stop PATENT APPLICATION Alexandria, VA 22313-1450
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1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 66]
(preferred arrangement set forth below, MPEP 1503.01)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description of the Invention (including drawings, if filed)
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 11]
5. ☒ Oath or Declaration (unexecuted) [Total Sheets 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation-in-part (CIP)

This application is a continuation-in-part of U.S. patent application no. 09/870,845, filed May 31, 2001, which is a continuation-in-part of U.S. patent application no. 09/750,768, filed December 29, 2000, which is a continuation-in-part of U.S. patent application no. 09/585,049, filed June 1, 2000.

19. CORRESPONDENCE ADDRESS

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PENNIE & EDMONDS LLP
 COUNSELLORS AT LAW
 1155 Avenue of the Americas
 New York, New York 10036-2711

ATTORNEY DOCKET NO. 10209-011

Date: June 24, 2003

Commissioner for Patents
 P.O. Box 1450
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 Alexandria, VA 22313-1450

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Waelbroeck et al.

Executed on:

Title of Invention: CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD

PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	16	- 20	0	\$18.00 each	\$ 0
Independent	2	- 3	0	\$84.00 each	\$ 0
Minimum Fee					\$ 750
Multiple Dependency Fee If Applicable (\$280.00)					\$ 0
Total					\$ 750
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					\$ 0
Total Filing Fee					\$ 750

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☒ This application is a continuation-in-part of U.S. patent application no. 09/870,845, filed May 31, 2001, which is a continuation-in-part of U.S. patent application no. 09/750,768, filed December 29, 2000, which is a continuation-in-part of U.S. patent application no. 09/585,049, filed June 1, 2000..
- ☐ The certified copy of the priority application has been filed in application no. filed on .
- ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed on .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

Steven D. Underwood (47,205) 24,615
 for Francis E. Morris Reg No.
 PENNIE & EDMONDS LLP

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.